

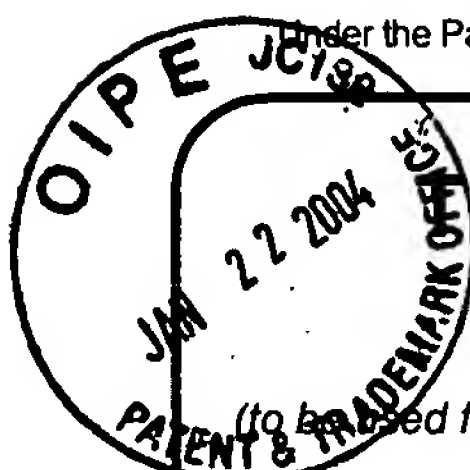
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PTO/SB/21 (08-00)

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TRANSMITTAL FORM

(To be used for all correspondence after initial filing)

Application Number	09/760,196
Filing Date	January 12, 2001
First Named Inventor	Vindekilde
Group Art Unit	2161
Examiner Name	Not Yet Assigned
Attorney Docket Number	3524/12

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Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Declaration for Utility or Design Patent Application

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney

☐ Terminal Disclaimer

☐ Request for Refund

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☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☒ Status Inquiry

☒ Other Enclosure(s) (please identify below):

- IDS Form PTO-1449;

- Copies of cited references; and

- Return receipt postcard.

Remarks

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Matthew J. Marquardt, Reg. No. 40,997

Signature

Date

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CERTIFICATE OF MAILING

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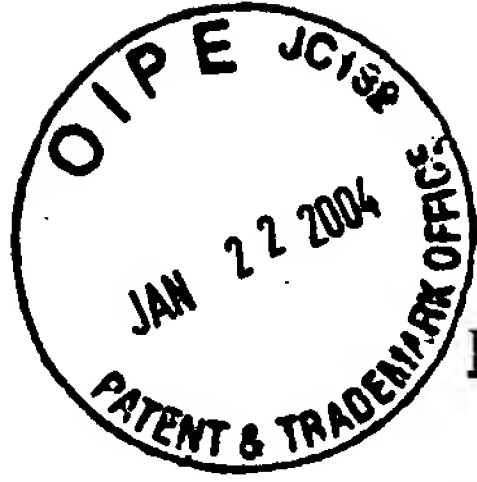
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PATENT
Attorney Docket No.: 3524/12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Vindekilde

Application No: 09/760,196

Art Unit: 2161

Filed: January 12, 2001

Examiner: Not Yet Assigned

For: System and Method for Listing
Offerings of Commercial Paper and
Other Interests

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INFORMATION DISCLOSURE STATEMENT

Applicant respectfully submits herewith an Information Disclosure Statement (IDS), an Information Disclosure Citation List, and a copy of each document listed therein. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.

This IDS is being filed before the mailing date of a first office action on the merits and thus no fee is due. The Commissioner is hereby authorized to charge any deficiency, or to credit any overpayment, to the undersigned attorney's Deposit Account No. 02-4270.

I hereby certify that this paper, together with any document referred to as attached or enclosed, is being deposited this date with the U.S. Postal Service with sufficient postage as First Class Mail addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Respectfully submitted,

Dated: January 20, 2004



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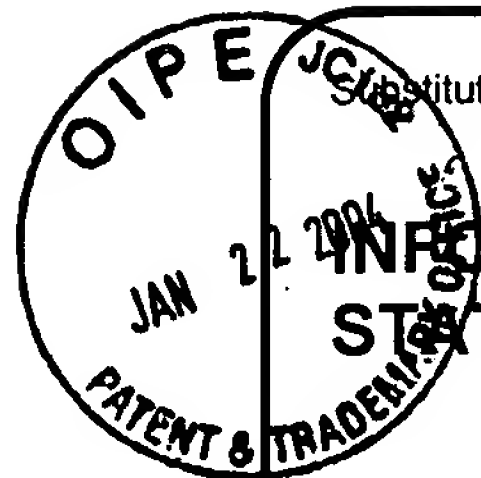
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Attorney Docket Number	3524/12

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		3,573,747		Adams et al.	4/6/71	
		3,581,072		Nymeyer	5/25/71	
		4,412,287		Braddock, III	10/25/83	
		4,674,044		Kalmus et al.	6/16/87	
		4,677,552		Sibley, Jr.	6/30/87	
		4,789,928		Fujisaki	12/6/88	
		4,903,201		Wagner	2/20/90	
		4,980,826		Wagner	12/25/90	
		5,038,284		Kramer	8/6/91	
		5,077,665		Silverman et al.	12/31/91	
		5,101,353		Lupien et al.	3/31/92	
		5,136,501		Silverman et al.	8/4/92	
		5,243,515		Lee	9/7/93	
		5,297,031		Guterman et al.	3/22/94	
		5,297,032		Trojan et al.	3/22/94	
		5,375,055		Togher et al.	12/20/94	
		5,517,406		Harris et al.	5/14/96	
		5,689,652		Lupien et al.	11/18/97	
		5,724,524		Hunt et al.	3/3/98	
		5,727,165		Ordish et al.	3/10/98	
		5,758,328		Giovannoli	5/26/98	
		5,774,880		Ginsberg	6/30/98	
		5,787,402		Potter et al.	7/28/98	
		5,809,483		Broka et al.	9/15/98	

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First Named Inventor

Vindekilde

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		Number	Kind Code ² (if known)			
		5,835,896		Fisher et al.	11/10/98	
		5,845,266		Lupien et al.	12/1/98	
		5,864,827		Wilson	1/26/99	
		5,873,071		Ferstenberg et al.	2/16/99	
		5,884,286		Daughtery, III	3/16/99	
		5,905,974		Fraser et al.	5/18/99	
		5,905,975		Ausubel	5/18/99	
		5,915,209		Lawrence	6/22/99	
		5,924,082		Silverman et al.	7/13/99	
		5,924,083		Silverman et al.	7/13/99	
		5,950,176		Keiser et al.	9/7/99	
		5,950,177		Lupien et al.	9/7/99	
		6,012,046		Lupien et al.	1/4/00	
		6,014,627		Togher et al.	1/11/00	
		6,014,643		Minton	1/11/00	
		6,021,398		Ausubel	2/1/00	
		6,029,146		Hawkins et al.	2/22/00	
		6,035,287		Stallaert et al.	3/7/00	
		6,055,518		Franklin et al.	4/25/00	
		6,131,087		Luke et al.	10/10/00	
		6,161,099		Harrington et al.	12/12/00	
		6,278,982	B1	Korhammer et al.	8/21/01	
		6,317,727	B1	May	11/13/01	
		6,377,940	B2	Tilfors et al.	4/23/02	
		6,421,653	B1	May	7/16/02	
		6,519,574	B1	Wilton et al.	2/11/03	

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FOREIGN PATENT DOCUMENTS

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		Office	Number ⁴	Kind Code ⁵ (if known)				
		GB	2258061A	A	Norm Pacific Automation	1/27/93		
		PCT	WO00/55775		Buyfx.com	9/21/00		
		PCT	WO01/16830	A1	Bloomberg LP	3/8/01		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		"Buyside Bids Wanted," Bloomberg Financial Markets Commodities News, Bloomberg LP, 1998, 11 pgs.	
		"What Corporate Traders Could Learn from Munis," Bloomberg, September 16, 1993, pp. 16-17.	
		"eCommerce in the U.S. Fixed Income Markets," The 1999 Review of Electronic Transaction Systems, The Bond Market Association, November 1999, pgs. 1-35.	
		"Getting the Word Out to the Right Muni Dealers," Bloomberg, October 1996, pgs. 85, 87.	
		Murphy, Brian, "Government Bond Trading Made Easy," Bloomberg, June 1999, pgs. 86-88.	
		"Bloomberg Offerings on Money Markets – BOOM <GO>," Bloomberg Financial Markets Commodities News, Bloomberg L.P., August 1, 1998, 7 pgs.	
		"And now – electronic bidding," Grant's Municipal Bond Issuer, Vol. 2, No. 14, July 16, 1998, pgs. 1-4.	
		"Innovative Trading in the Nasdaq Marketplace," User Manual, Bloomberg Tradebook Europe Ltd., June 1999.	
		"Innovative Trading in the Nasdaq Marketplace," User Manual, Bloomberg Tradebook Europe Ltd., March 2000.	
		"Real Bids. Institutional Investors Begin Using Electronic Bond Trading," The Bank of New York Company, Inc. April 8, 1998, 1 pg.	
		"Real Bids. The Bank of New York to Acquire Automated Bond Trading System," The Bank of New York Company, Inc. April 19, 1997.	
		Picot, Arnold et al., "The Automation of Capital Markets", Institute of Organization, Munich, Germany, Circa 1996, 20 pgs.	
		"TradeWeb Launches First Multi-Dealer Electronic Trading System for Fixed-Income Securities," EDI Update International, The Global Review of Electronic Trade, October 1997, Volume IX, No. 11, 1 pg.	

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